

TO/TC/80  
jcc658 U.S. PTO

09-04-01 A

Please type a plus sign (+) inside this box



PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages 70]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U. S. C. 113) [ Total Sheets \_\_\_\_\_ ]
- Oath or Declaration [ Total Pages \_\_\_\_\_ ]
  - Newly executed (original or copy)
  - Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

|                        |  |
|------------------------|--|
| Attorney Docket No.    | A01073                                       |
| First Inventor         | Jane Elizabeth Weier                         |
| Title                  | Functional Liquid-Solid Additive Systems:... |
| Express Mail Label No. | EF150160780US                                |

PTO  
941289  
08/31/01

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

| ACCOMPANYING APPLICATION PARTS          |   |                          |                                      |
|---|---|--------------------------|--------------------------------------|
| 9. <input type="checkbox"/>             | Assignment Papers (cover sheet & document(s))   | <input type="checkbox"/> | Power of                             |
| 10. <input type="checkbox"/>            | 37 CFR 3.73(b) Statement  | <input type="checkbox"/> | Attorney (when there is an assignee) |
| 11. <input type="checkbox"/>            | English Translation Document (if applicable)  | <input type="checkbox"/> | Copies of IDS                        |
| 12. <input type="checkbox"/>            | Information Disclosure Statement (IDS)/PTO-1449   | <input type="checkbox"/> | Citations                            |
| 13. <input checked="" type="checkbox"/> | Preliminary Amendment   |                          |                                      |
| 14. <input checked="" type="checkbox"/> | Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)   |                          |                                      |
| 15. <input type="checkbox"/>            | Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)  |                          |                                      |
| 16. <input type="checkbox"/>            | Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. |                          |                                      |
| 17. <input type="checkbox"/>            | Other: _____  |                          |                                      |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part(CIP)    of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 19 CORRESPONDENCE ADDRESS

|   |   |           |   |
|---|---|-----------|---|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer Number or Bar Code Label here)                                       |           | <input type="checkbox"/> Correspondence address below |
| Name  | Jeffrey H. Rosedale, Ph.D., J.D.<br>ROHM AND HAAS 21898<br>100 Independence Mall West |           |   |
| Address   | PATENT & TRADEMARK OFFICE   |           |   |
| City  | Philadelphia  | State     | PA  |
| Country   | USA   | Telephone | 215-785-8300  |
| Name (Print/Type)   | Jeffrey H. Rosedale, Ph.D., J.D.  |           | Registration No. (Attorney/Agent)                     |
| Signature   | <i>Jeffrey H. Rosedale</i>  |           | Date 8/31/01  |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 130)

## Complete if Known

|                      |                      |
|----------------------|----------------------|
| Application Number   | 09/944,290           |
| Filing Date          | August 31, 2001      |
| First Named Inventor | Jane Elizabeth Weier |
| Examiner Name        | Not Yet Assigned     |
| Group Art Unit       | 1714                 |
| Attorney Docket No.  | A01071               |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **18-1850**  
Deposit Account Name **Rohm and Haas Company**

Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status.  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Description | Fee Paid                  |
|--------------|--------------|-----------------|---------------------------|
| Code (\$)    | Code (\$)    |                 |                           |
| 101          | 710          | 201             | 355 Utility filing fee    |
| 106          | 320          | 206             | 160 Design filing fee     |
| 107          | 490          | 207             | 245 Plant filing fee      |
| 108          | 710          | 208             | 355 Reissue filing fee    |
| 114          | 150          | 214             | 75 Provisional filing fee |

SUBTOTAL(1) (\$)

## 2. EXTRA CLAIM FEES

| Total Claims | Independent Claims | Multiple Dependent | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------------|--------------------|--------------|----------------|----------|
|              |                    |                    |              |                |          |
|              |                    |                    | -20** =      | X              | =        |
|              |                    |                    | - 3** =      | X              | =        |

| Large Entity | Small Entity | Fee Description   |
|--------------|--------------|---|
| Code (\$)    | Code (\$)    |   |
| 103          | 18           | 203 9 Claims in excess of 20                                    |
| 102          | 80           | 202 40 Independent claims in excess of 3                        |
| 104          | 270          | 204 135 Multiple dependent claim, if not paid                   |
| 109          | 80           | 209 40 **Reissue independent claims over original patent        |
| 110          | 18           | 210 9 **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater, For Reissues, see above

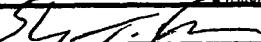
## 3. ADDITIONAL FEES

| Large Entity  | Small Entity  | Fee Description   | Fee Paid |
|---------------|---------------|---|----------|
| Fee Code (\$) | Fee Code (\$) | Fee Description   | Fee Paid |
| 105           | 130           | 205 65 Surcharge - late filing fee or oath  | 130      |
| 127           | 50            | 227 25 Surcharge - late provisional filing fee or cover sheet                     |          |
| 139           | 130           | 139 130 Non-English specification   |          |
| 147           | 2,520         | 147 2,520 For filing a request for ex parte reexamination                         |          |
| 112           | 920*          | 112 920* Requesting publication of SIR prior to Examiner action                   |          |
| 113           | 1,840*        | 113 1,840* Requesting publication of SIR after Examiner action                    |          |
| 115           | 110           | 215 55 Extension for reply within first month                                     |          |
| 116           | 390           | 216 195 Extension for reply within second month                                   |          |
| 117           | 890           | 217 445 Extension for reply within third month                                    |          |
| 118           | 1,390         | 218 695 Extension for reply within fourth month                                   |          |
| 128           | 1,890         | 228 945 Extension for reply within fifth month                                    |          |
| 119           | 310           | 219 155 Notice of Appeal  |          |
| 120           | 310           | 220 155 Filing a brief in support of an appeal                                    |          |
| 121           | 270           | 221 135 Request for oral hearing  |          |
| 138           | 1,510         | 138 1,510 Petition to institute a public use proceeding                           |          |
| 140           | 110           | 240 55 Petition to revive - unavoidable   |          |
| 141           | 1,240         | 241 620 Petition to revive - unintentional  |          |
| 142           | 1,240         | 242 620 Utility issue fee (or reissue)  |          |
| 143           | 440           | 243 220 Design issue fee  |          |
| 144           | 600           | 244 300 Plant issue fee   |          |
| 122           | 130           | 122 130 Petitions to the Commissioner   |          |
| 123           | 50            | 123 50 Processing fee under 37 CFR 1.17(q)  |          |
| 126           | 180           | 126 180 Submission of Information Disclosure Stmt                                 |          |
| 581           | 40            | 581 40 Recording each patent assignment per property (times number of properties) |          |
| 146           | 710           | 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))             |          |
| 149           | 710           | 249 355 For each additional invention to be examined (37 CFR § 1.129(b))          |          |
| 179           | 710           | 279 355 Request for Continued Examination (RCE)                                   |          |
| 169           | 900           | 169 900 Request for expedited examination of a design application                 |          |

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 130)

|                   |   |                                   |        |                        |
|-------------------|---|-----------------------------------|--------|------------------------|
| SUBMITTED BY      |   | Complete (if applicable)          |        |                        |
| Name (Print/Type) | Stephen T. Falk   | Registration No. (Attorney/Agent) | 36,795 | Telephone 215-592-6745 |
| Signature         |  |                                   |        |                        |
|                   | Date 10/19/01   |                                   |        |                        |

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 790

## Complete if Known

|                      |                      |
|----------------------|----------------------|
| Application Number   |                      |
| Filing Date          | Herewith             |
| First Named Inventor | Jane Elizabeth Weier |
| Examiner Name        | Not Yet Assigned     |
| Group Art Unit       | Not Yet Assigned     |
| Attorney Docket No.  | A01073               |

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See 37 CFR 1.27

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Check  Credit card  Money Order  Other

## FEE CALCULATION

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|---------------|---------------|-------------------------------|----------|
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| 106           | 320           | 206 160 Design filing fee     |          |
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| 108           | 710           | 208 355 Reissue filing fee    |          |
| 114           | 150           | 214 75 Provisional filing fee |          |

SUBTOTAL(1) (\$ 710

## 2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------|----------------|----------|
| 20           | -20** = 0    | X 18           | = 0      |
| 4            | -3** = 1     | X 80           | = 80     |
|              |              |                | 0 = 0    |

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description   |
|---------------|---------------|---|
| 103           | 18            | 203 9 Claims in excess of 20                                    |
| 102           | 80            | 202 40 Independent claims in excess of 3                        |
| 104           | 270           | 204 135 Multiple dependent claim, if not paid                   |
| 109           | 80            | 209 40 **Reissue independent claims over original patent        |
| 110           | 18            | 210 9 **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 80

\*\*or number previously paid, if greater, For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description   | Fee Paid |
|----------------------------|----------------------------|---|----------|
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| 581                        | 40                         | 581 40 Recording each patent assignment per property (times number of properties) |          |
| 146                        | 710                        | 246 355 Filing a submission after final rejection (37 CFR 1.1.29(a))              |          |
| 149                        | 710                        | 249 355 For each additional invention to be examined (37 CFR 1.129(b))            |          |
| 179                        | 710                        | 279 355 Request for Continued Examination (RCE)                                   |          |
| 169                        | 900                        | 169 900 Request for expedited examination of a design application                 |          |

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

## SUBMITTED BY

Complete (if applicable)

|                   |                                  |                                   |        |           |              |
|-------------------|----------------------------------|-----------------------------------|--------|-----------|--------------|
| Name (Print/Type) | Jeffrey H. Rosedale, Ph.D., J.D. | Registration No. (Attorney/Agent) | 46,018 | Telephone | 215-785-8300 |
| Signature         | <i>Jeffrey H. Rosedale</i>       |                                   |        | Date      | 8/31/01      |

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No. A01073  
JHR/ams

In re application of:  
Jane Elizabeth Weier, et al. :  
  
Serial No: Not Yet Assigned : Group Art Unit: Not Yet Assigned  
  
Filed: Herewith : Examiner: Not Yet Assigned  
  
For: Functional Liquid-Solid Additive Systems:  
Compositions, Processes, and Products Thereof

Assistant Commissioner for Patents  
Washington, DC 20231

T00E3D "S3244660

CERTIFICATE OF EXPRESS MAILING

Sir:

I hereby certify that the following correspondence is being deposited with the U.S. Postal Service as Express Mail with the U.S. Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on the date indicated next to my signature below:

Utility Patent Application Transmittal  
Nonprovisional Patent Application  
Fee Transmittal (in duplicate)  
Preliminary Amendment

                          
Return Receipt Postcard

August 31, 2001  
Date

Becky Knauth  
Signature

U.S. Post Office Express Mail Label #EF150160780US

In connection with the below identified patent application, we hereby acknowledge receipt of:

Response to Notice to File Missing Parts of Application  
Copy of Notice to File Missing Parts of Nonprovisional  
Application  
Missing Parts - Declaration and Power of Attorney  
Fee Transmittal (in duplicate)  
Certificate of Mailing

DN. A01071 Ser. No. 09/944,290 Filed 08/31/01  
Certificate of Mailing:  Yes  No  
Date Mailed October 19, 2001 Initials STF (JHR) / ams

FORM 13663 6/94

In connection with the below identified patent application, we hereby acknowledge receipt of:

**Utility Patent Application Transmittal  
Nonprovisional Patent Application  
Fee Transmittal (in duplicate)  
Preliminary Amendment**

[REDACTED]  
**Certificate of Express Mailing**

DN. A01071 Ser. No. ----- Filed Herewith  
Certificate of Mailing:  Yes  No